



PATENTS

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Michael Wayne Graham, et al. Examiner: Unassigned  
Serial No: 09/997,905 Art Unit: 1633  
Filed: Nov. 30, 2001 Docket: 11535Y  
For: CONTROL OF GENE EXPRESSION Dated: September 12, 2002

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Assistant Commissioner for Patents  
United States Patent and Trademark Office  
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#8

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. Fire, A., Xu, S.Q., Montgomery, M.K. Kostas, S.A. Driver, S.E. and Mello, C.C. (1998), "Potent and Specific Genetic Interference by Double-Standard RNA in *Caenorhabditis elegans*". Nature, **391** (6669): 806-811;
2. Fire, A., Xu, S.Q., Montgomery, M.K. Kostas, S.A. Timmons, L. Tabara, H. Driver, S.E. and Mello, C.C. (1999), "Genetic Inhibition by Double-Standard RNA". WO 99/32619 (first priority date 23 December, 1997);

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231 on September 12, 2002.

Dated: September 12, 2002

  
Michelle Mustafa

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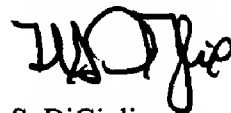
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Copies of the above-cited references were previously submitted in the parent application, Serial No. 09/100,812, in Information Disclosure Statements dated December 20, 2000; June 20, 2002; and September 3, 2002.

Consideration of this Information Disclosure Statement is respectfully requested, since the art may be material to the examination of the present application as defined under 37 C.F.R. §1.56.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in C.F.R. §1.97(b), no statement or fee is required.

Respectfully submitted,

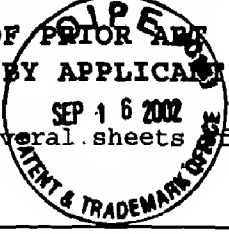


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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)
	5,714,323	2/3/98	Oshima, et al.			
	5,686,649	11/11/97	Chua, et al.			
	5,583,021	12/10/96	Dougherty, et al.			
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## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 99/32619	7/1/99	PCT				
	WO 95/10607	4/20/95	PCT				
	WO 98/44138	10/8/98	PCT				
	WO 96/08558	3/21/96	PCT				
	EP 0560156A2	9/15/93	EPO				
	WO 99/25853	5/27/99	PCT				
	EP 0242016	10/21/97	EPO				

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	Fire, A., Xu, S.Q., Montgomery, M.K. Kostas, S.A. Driver, S.E. and Mello, C.C. (1998), "Potent and Specific Genetic Interference by Double-Standard RNA in <i>Caenorhabditis elegans</i> ". <u>Nature</u> , 391 (6669): 806-811
	Garrrick, D., Fiering, S., Martin, D.I. and Whitelaw, E. (1998), "Repeat-Induced Gene Silencing in Mammals", <u>Nature Genetics</u> 18(1): 56-59
	Dorer, D.R. and Henikoff, S. (1997) Transgene Repeat Arrays Interact with Distant Heterochromatin and Cause Silencing in <i>cis</i> and <i>trans</i> ". <u>Genetics</u> 147(3)

EXAMINER

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Form PTO-1449 (REV. 7-80)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Atty. Docket No. <b>11535Y</b>		Serial No. <b>09/997,905</b>	
<b>LIST OF PRIOR ART CITED BY APPLICANT</b>  (Use several sheets if necessary)				Applicant <b>Michael Wayne Graham, et al.</b>		<div style="text-align: right; font-weight: bold; font-size: 1.2em;">RECEIVED</div> <div style="text-align: right;">SEP 17 2002</div>	
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FOREIGN PATENT DOCUMENTS							
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION		
					YES	NO	
WO 98/36083	8/20/98	PCT					
WO 99/15682	4/1/99	PCT					
WO 97/01952	1/23/97	PCT					
WO 93/23551	11/25/93	PCT					
WO 94/17194	8/4/94	PCT					
WO 93/17098	9/2/93	PCT					
WO 98/53083	11/26/98	PCT					

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)	
	Pal-Bhadra, M., Bhadra U. and Birchler, J.A. (1997) "Cosuppression in Drosophila: Gene Silencing of Alcohol Dehydrogenase by White-Adh Tarnsgenes is Polycomb Dependent". <u>Cell</u> 90(3): 385-387
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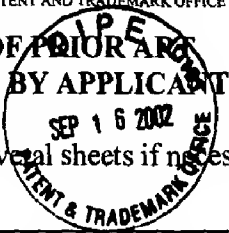
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EXAMINER	DATE CONSIDERED

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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(REV. 7-80) PATENT AND TRADEMARK OFFICEU.S. DEPARTMENT OF COMMERCE  
PATENT & TRADEMARK OFFICE**LIST OF PRIOR ART  
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Atty. Docket No.  
11535YSerial No.  
09/997,905**RECEIVED**Applicant  
Michael Wayne Graham, et al.

SEP 17 2002

Filing Date  
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1633 TECH CENTER 1600/2900**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

**OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	Smardon, Anne et al., "EGO-1 is related to RNA-directed RNA polymerase an functions in germ-line development and RNA interference in <i>C. elegans</i> ", <u>Current Biology</u> , 10(4): 169-178 (2000)
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EXAMINER

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

SEP 16 2002

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

11535Y

In Re Application Of: Michael Wayne Graham, et al.

Serial No.

09/997,905

Filing Date

Nov. 30, 2001

Examiner

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Group Art Unit

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Title: CONTROL OF GENE EXPRESSION

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**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
11535Y

In Reply, Please Refer To: Michael Wayne Graham, et al.

Serial No.  
09/997,905

Filing Date  
Nov. 30, 2001

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